

OPPENHEIMER

OPPENHEIMER WOLFF & DONNELLY LLP

Plaza VII, Suite 3300
45 South Seventh Street
Minneapolis, MN 55402-1609

oppenheimer.com

612.607.7000
Fax 612.607.7100

RECEIVED
CENTRAL FAX CENTER

DEC 13 2005

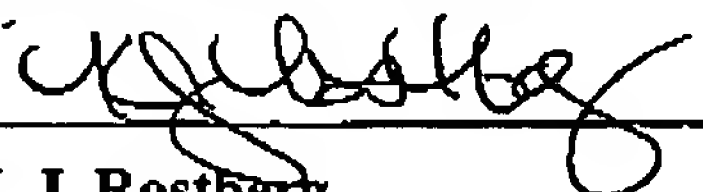
FAX COVER LETTER

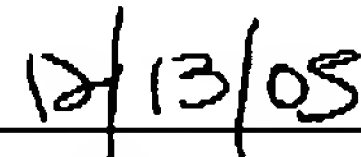
December 13, 2005

TO: Mail Stop Amendment - Commissioner for Patents
COMPANY: U.S. Patent and Trademark Office
FAX: 571.273.8300
FROM: Dena VanDeVoort Ehrich
DIRECT DIAL: 612.607.7345
EMAIL: DVanDeVoort@Oppenheimer.com
RE: U.S. Patent Application No. 09/930,786
Filed: August 15, 2001
Art Unit: 3628
Examiner: N.B. Nguyen
Attorney Docket No.: 060021-375602

CERTIFICATE OF TRANSMISSION

I hereby certify under 37 CFR 1.8 that this correspondence is being facsimile transmitted to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, facsimile number 571/273-8300 on December 13, 2005.


K. J. Rostberg


Date

1. Transmittal Form SB21
2. Information Disclosure Statement
3. Form 1449A/PTO

This facsimile contains confidential information intended only for the use of the addressee(s) named above and may contain information that is legally privileged. If you are not the addressee, or the person responsible for delivering it to the addressee, you are hereby notified that reading, disseminating, distributing or copying this facsimile is strictly prohibited. If you have received this facsimile by mistake, please immediately notify us by telephone and return the original message to us at the address above via the Postal Service (we will reimburse postage). Thank you.

Originals: Not being sent

Completed by: Kim Rostberg/7260

You should receive 6 page(s) including this page.

If the transmission is incomplete, please call 612.607.7276 as soon as possible.

RECEIVED
CENTRAL FAX CENTER

002


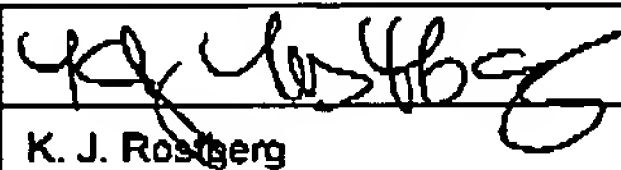
DEC 13 2005

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | |
|---|---|--|-------------------|--|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 09/930,786 | |
| | | Filing Date | August 15, 2001 | |
| | | First Named Inventor | Ronald E. Sloan | |
| | | Art Unit | 3628 | |
| | | Examiner Name | N.B. Nguyen | |
| Total Number of Pages in This Submission | 5 | Attorney Docket Number | 060021-375602 | |
| ENCLOSURES (Check all that apply) | | | | |
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD | | |
| | | <input type="checkbox"/> After Allowance communication to (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return post card | | |
| | | Remarks Enclosed is a Supplemental Information Disclosure Statement (3 pages) and Form 1449A/PTO (1 pages). | | |
| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | | |
| Firm Name | Oppenheimer Wolff & Donnelly LLP | | | |
| Signature |  | | | |
| Printed name | Dena VanDeVoort Ehrich | | | |
| Date | December 13, 2005 | Reg. No. | 57,508 | |
| CERTIFICATE OF TRANSMISSION/MAILING | | | | |
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO (Fax No. 571/273-8300) or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | | | | |
| Signature |  | | | |
| Typed or printed name | K. J. Rostberg | Date | December 13, 2005 | |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

In you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Serial No 09/930,786
Page 1 of 3

RECEIVED
CENTRAL FAX CENTER

DEC 13 2005

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald E. Sloan

Serial No: 09/930,786

Filed: 08-15-2001

Title: Financial portfolio risk management

Docket No: 060021-375602

Group Art Unit: 3628

Examiner: Nguyen, Nga B.

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Certificate of Mailing/Transmittal

I hereby certify that this correspondence is being facsimile transmitted to the USPTO (Fax. No. 571/273-8300) or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Kimberly Rothberg

Date

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

This Information Disclosure Statement is being submitted:

- ☒ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application, or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- ☐ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37

Serial No 09/930,786

Page 2 of 3

CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:

(a) A statement that either:

- ☐ (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- ☐ (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

- ☐ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

- ☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

(a) A statement that either:

- ☐ (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- ☐ (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

AND

- ☐ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for

Serial No 09/930,786

Page 3 of 3

any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375602.

Respectfully submitted,

December 13, 2005

By Dena VanDeVoort Ehrich
Dena VanDeVoort Ehrich, Reg. No. 57, 508
Customer No. 29,838

Oppenheimer Wolff & Donnelly LLP
45 South Seventh Street, Suite 3300
Minneapolis, Minnesota 55402
Telephone: 612.607.7345
Facsimile: 612.607.7100
Email: DVanDeVoort@oppenheimer.com

| | | | | | | |
|---|---|----|---|--------------------------|--------------|--------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete If Known | | |
| | | | | Application Number | 09/930,786 | |
| | | | | Filing or 371(c) Date | 08-15-2001 | |
| | | | | First Named Inventor | RONALD SLOAN | |
| | | | | Art Unit | 3628 | |
| | | | | Examiner Name | Nguyen, Nga | |
| Sheet | 1 | of | 1 | Attorney Docket Number | | 60021-375602 |

| U.S. PATENT DOCUMENTS | | | | |
|-----------------------|-----------------------|--|--------------------------|---|
| Examiner Initials* | Cite No. ¹ | Document Number Number -Kind Code ² (if known) | Issue Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
| | | US-4,953,085 | 08-28-1990 | Atkins, Charles A. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | |
|--------------------------|-----------------------|--|--------------------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ² -Number ³ -Kind Code ⁴ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | T ⁵ |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|--|-----------------|
| Examiner Initials | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ² |
| | | | |
| | | | |
| Examiner Signature | | | Date Considered |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.